

FIG. 4

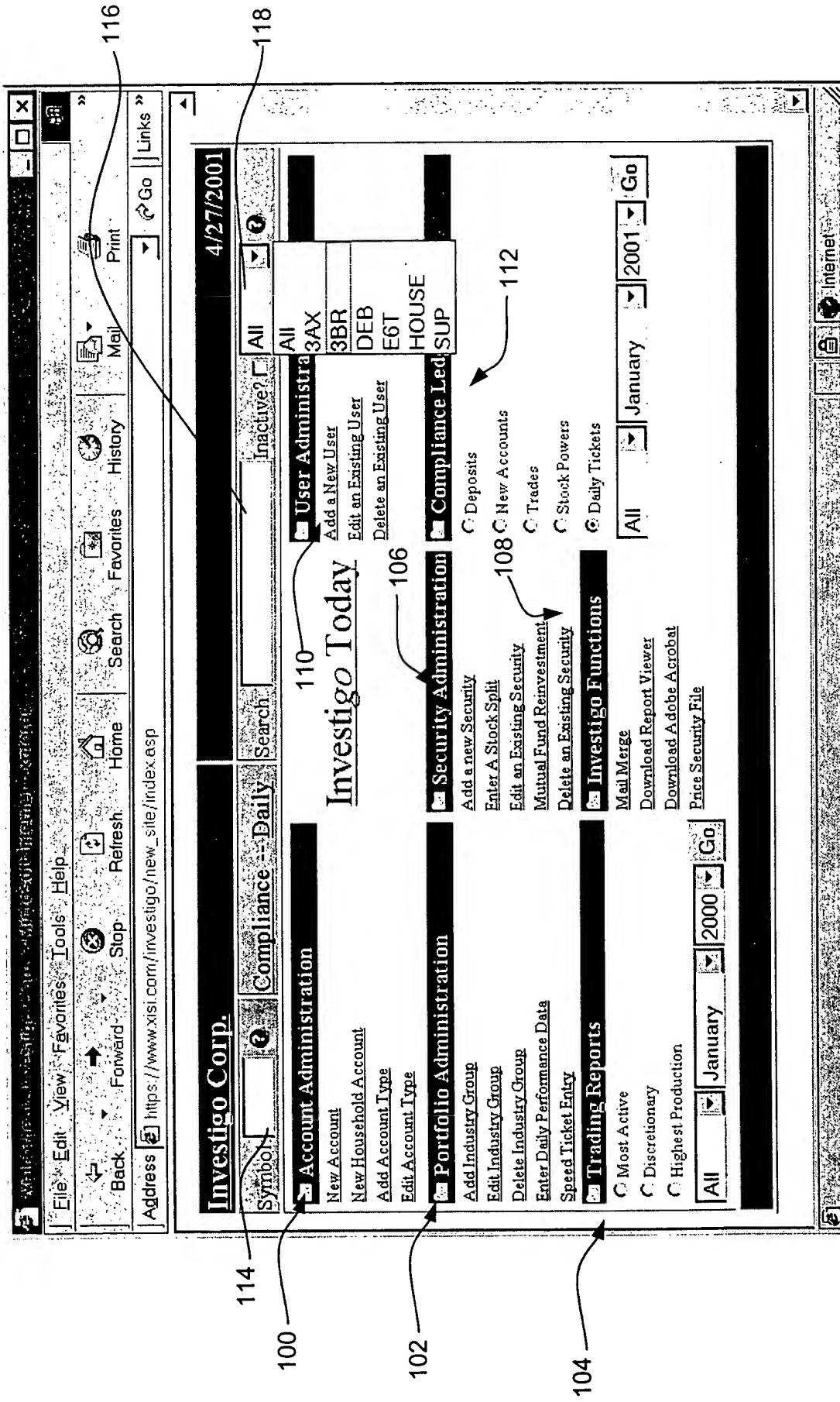


FIG. 5

Investigo Corp.			
• 10 Most active accounts for All Reps for the month ending 01/31/2000			
Account Number	Client Name	Account Type	SSN
<u>W636020323</u>	Diane Glosson	Regular IRA	307-50-4245
<u>W636019051</u>	Richard Schreiber	Regular IRA	305-38-3491
<u>317-62-3670</u>	Stanley Gamble	401(k)	317-62-3670
<u>308-70-8613</u>	Michael Saxman	401(k)	308-70-8613
<u>385-82-2226</u>	Mark Reilly	401(k)	385-82-2226
<u>305-60-3130</u>	Lee Humbert	401(k)	305-60-3130
<u>312-82-2943</u>	Henry Gilbert	401(k)	312-82-2943
<u>315-72-9043</u>	Kathy Lefever	401(k)	315-72-9043
<u>60952972D</u>	Stanley D. Gamble	401(k)	317-62-3670
<u>60952996D</u>	Mark L. Reilly	401(k)	385-82-2226

**FIG. 6**

Investigo Corp.			
<ul style="list-style-type: none"> <li>10 Most active accounts for Rep 3BR for the month ending 10/31/2000</li> </ul>			
Account Number	Client Name	Account Type	SSN
W636080590	David A. Story	Regular IRA	303-52-5412
FERG6	Scott Fergusson	401(k)	304-96-1037
W632319364	Jeffrey L. Hinen	JTWROS	308-82-8501
W632014437	Mr. James E. Lauritsen	DVP	43-0497480
60688910	Carolyn E. Hein	403(b)	307-46-5353
64747090	Chelsey J. Coughlin	UGMA	313-13-3668
64747091	Bray J. Coughlin	UGMA	310-19-2016
FER5	Scott Fergusson	Regular IRA	304-96-1037
W632297842	Keith Edwards	JTWROS	315-52-2906
W636019770	Kim A. Lefever	Regular IRA	316-64-4482

# FIG. 7

05947120.072701

Investigo Corp.						
• Check Deposit ledger for All for the Month ending 10/31/2000.						
<u>Date Received</u>	<u>Account Number</u>	<u>Account Name</u>	<u>Amount</u>	<u>Deposit Date</u>	<u>Payable To</u>	<u>Represent</u>
10/1/2000	C017254-0D	Keith D. Class	-900	10/1/2000	Keith D. Class	3AX
10/2/2000	64923193	Shawn D. Ferro	150	10/2/2000	fund	3BR
10/2/2000	W636019127	Shirley Clem	-540	10/2/2000	Shirley Clem	3AX
10/2/2000	W636019127	Shirley Clem	-60	10/2/2000	Shirley Clem	3AX
10/2/2000	65099328	Mary Jo LaVine	510	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65018634	Kelly M. LaVine	-10	10/2/2000	Kelly M. LaVine	3AX
10/2/2000	64955885	Patricia A. Vilches	-10	10/2/2000	Patricia A. Vilches	3AX
10/2/2000	64955885	Patricia A. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65131336	Mariano R. Vilches	-10	10/2/2000	Mariano R. Vilches	3AX
10/2/2000	65131336	Mariano R. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	W636019234	Coryll Miller	-500	10/2/2000	Coryll Miller	3AX
10/2/2000	W636019085	Ross Leakey	-520	10/2/2000	Ross Leakey	3AX
10/2/2000	64924065	Elizabeth E. Neuok	-300	10/2/2000	Elizabeth E. Neuok	3BR
10/2/2000	64923194	Heather A. Ferro	125	10/2/2000	fund	3BR
10/2/2000	W636019697	Gloria Weiler	-100	10/2/2000	Gloria Weiler	3AX
10/2/2000	W636020505	Dean Mansdorfer	-350	10/2/2000	Dean Mansdorfer	3AX
10/2/2000	W636020513	Nyla Mansdorfer	-350	10/2/2000	Nyla Mansdorfer	3AX
10/2/2000	W636020562	Frank Erwin	-600	10/2/2000	Frank Erwin	3AX
10/2/2000	W636058851	David B. Sensenich	-400	10/2/2000	David B. Sensenich	3AX
10/2/2000	W636081952	Gary S. Hall	-350	10/2/2000	Gary S. Hall	3AX
10/2/2000	W638026435	Dorothy M. Neuenschwander	-1500	10/2/2000	Dorothy M. Neuenschwander	3AX
10/2/2000	W638030924	Alfred E. Boyer	-223.7	10/2/2000	Alfred E. Boyer	3AX
10/2/2000	W636019622	Sophie Leakey	-200	10/2/2000	Sophie Leakey	3AX
10/2/2000	64831677	Dolores McCormick	-200	10/2/2000	Dolores McCormick	3AX
10/2/2000	W632293528	Ellen Jackson	-5000	10/2/2000	Ellen Jackson	3AX
9/30/2000	W632628913	William A. Oliver	1000.00	10/2/2000	Schroder & Co.	E6T
10/2/2000	W632669420	Robert W. Schnipke	200000	10/2/2000	Schroder & Co	3AX
10/2/2000	W632292801	Mazie Welbaum	-249.36	10/2/2000	Mazie Welbaum	3AX

FIG. 8



10/22/2000 10:27:46.50

Investigo Corp.									
Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000									
Trade Date	Settle Date	Buy/Sell	Account Number	Product	Shares	S/UNS	Buy Price	Buy Cost	Buy Commission
10/1/2000	10/4/2000	Buy	W632293452	C017254-0D	60327.84	Unsolicited	1	0	0
10/2/2000	10/5/2000	Buy	W632669420	ALAX	3603.604	Solicited	15.54	56000	0
10/2/2000	10/5/2000	Buy	W632669420	IGSX	1689.708	Solicited	13.02	22000	0
10/2/2000	10/5/2000	Buy	W632669420	RCVAX	1756.44	Solicited	17.08	30000	0
10/2/2000	10/5/2000	Buy	W632667689	LEIFX	0.194	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632665626	RCVAX	51.317	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632658955	RCVBX	11.881	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632588893	RCVGX	7.324	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Solicited	0.4375	187.6	50
10/2/2000	10/5/2000	Buy	W632498077	LEIBX	0.135	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632467411	GOO	70	Solicited	88.5	6333.44	132.09
10/2/2000	10/5/2000	Buy	W632448502	RCVGX	16.242	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W635047672	RCVGX	47.063	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632367389	RCVBX	21.917	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632669420	OPPAX	485.784	Solicited	69.99	34000	0
10/2/2000	10/5/2000	Buy	W632356945	LEIFX	1.342	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632322475	RCVAX	40.796	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632312686	AHITX	3.706	Solicited	12.97	0	0
10/2/2000	10/5/2000	Buy	W632306958	NABGX	13.93	Solicited	15.04	0	0
10/2/2000	10/5/2000	Buy	W632297412	LEIBX	0.292	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297347	LEIBX	0.576	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297107	KO	0.62	Solicited	54.937	34.22	0
10/2/2000	10/5/2000	Buy	W632295523	FDBBX	17.202	Solicited	18.79	0	0

FIG. 9

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<div> <div>File Edit View Favorites Tools Help</div> <div> <div>Back Forward Stop Refresh Home Search Favorites History Mail Print Go Links</div> <div>Address: https://www.xisi.com/investigo/daily/monthly_daily_orders.asp?Represent=All&amp;Month=10/31&amp;Year=2000</div> </div> </div>																																																																																																																																																																																																																											
Investigo Corp.																																																																																																																																																																																																																											
<div> <div>• Daily Trade Tickets for the Period 10/1/2000 to 10/31/2000 for All.</div> <table> <tr> <th>Trade Date</th><th>Settle Date</th><th>Buy/Sell</th><th>Account Number</th><th>Product</th><th>Shares</th><th>SUNS</th><th>Type</th><th>Price</th><th>Report</th></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>45168H105</td><td>2001.8200</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>10.99 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Sell</td><td>W632319364</td><td>RHAT</td><td>500</td><td>Unsolicited</td><td>Cash - 01</td><td>mkt</td><td>17.1/16 3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632467411</td><td>QQQ</td><td>70</td><td>Unsolicited</td><td>Cash - 01</td><td>88 1/2 gtc</td><td>88 1/2 3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Sell</td><td>W632319364</td><td>NOI2</td><td>600</td><td>Unsolicited</td><td>Cash - 01</td><td>mkt</td><td>7 1/16 3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632541066</td><td>BETM</td><td>300</td><td>Unsolicited</td><td>Cash - 01</td><td>market</td><td>.4575 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Sell</td><td>W632319364</td><td>TRCR</td><td>800</td><td>Unsolicited</td><td>Cash - 01</td><td>3 11/16</td><td>3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>IALAX</td><td>3603.6040</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>15.54 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>45168C437</td><td>1689.7080</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>13.02 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>OIGAX</td><td>419.8150</td><td>Solicited</td><td>Cash - 01</td><td>0</td><td>23.82 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>OPMSX</td><td>1635.2200</td><td>Unsolicited</td><td>Cash - 01</td><td>market</td><td>15.90 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W636047672</td><td>ANWFX</td><td>2471.6500</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>29.63 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W636047672</td><td>AEPGX</td><td>1580.8760</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>39.48 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W636047672</td><td>IVINX</td><td>1707.1350</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>36.68 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W636047672</td><td>220714505</td><td>52745.70</td><td>Solicited</td><td>Cash - 01</td><td>1</td><td>1 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W632669420</td><td>RCVAX</td><td>1756.4400</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>17.08 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W632669420</td><td>OPPAX</td><td>485.7840</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>69.99 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W636047672</td><td>NEFDX</td><td>4282.7230</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>17.10 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W636020430</td><td>LU</td><td>100</td><td>Unsolicited</td><td>Cash - 01</td><td>30.25</td><td>GTC 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W632295424</td><td>LEH</td><td>1000</td><td>Unsolicited</td><td>Cash - 01</td><td>160</td><td>GTC 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/7/2000</td><td>Sell</td><td>W636020430</td><td>FKINX</td><td>7884.9400</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>2.31 3AX</td></tr> </table> </div>										Trade Date	Settle Date	Buy/Sell	Account Number	Product	Shares	SUNS	Type	Price	Report	10/2/2000	10/5/2000	Buy	W632669420	45168H105	2001.8200	Solicited	Cash - 01	market	10.99 3AX	10/2/2000	10/5/2000	Sell	W632319364	RHAT	500	Unsolicited	Cash - 01	mkt	17.1/16 3BR	10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Unsolicited	Cash - 01	88 1/2 gtc	88 1/2 3BR	10/2/2000	10/5/2000	Sell	W632319364	NOI2	600	Unsolicited	Cash - 01	mkt	7 1/16 3BR	10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Unsolicited	Cash - 01	market	.4575 3AX	10/2/2000	10/5/2000	Sell	W632319364	TRCR	800	Unsolicited	Cash - 01	3 11/16	3BR	10/2/2000	10/5/2000	Buy	W632669420	IALAX	3603.6040	Solicited	Cash - 01	market	15.54 3AX	10/2/2000	10/5/2000	Buy	W632669420	45168C437	1689.7080	Solicited	Cash - 01	market	13.02 3AX	10/2/2000	10/5/2000	Buy	W632669420	OIGAX	419.8150	Solicited	Cash - 01	0	23.82 3AX	10/2/2000	10/5/2000	Buy	W632669420	OPMSX	1635.2200	Unsolicited	Cash - 01	market	15.90 3AX	10/2/2000	10/6/2000	Buy	W636047672	ANWFX	2471.6500	Solicited	Cash - 01	market	29.63 3AX	10/2/2000	10/6/2000	Buy	W636047672	AEPGX	1580.8760	Solicited	Cash - 01	market	39.48 3AX	10/2/2000	10/6/2000	Sell	W636047672	IVINX	1707.1350	Solicited	Cash - 01	market	36.68 3AX	10/2/2000	10/6/2000	Sell	W636047672	220714505	52745.70	Solicited	Cash - 01	1	1 3AX	10/2/2000	10/6/2000	Buy	W632669420	RCVAX	1756.4400	Solicited	Cash - 01	market	17.08 3AX	10/2/2000	10/6/2000	Buy	W632669420	OPPAX	485.7840	Solicited	Cash - 01	market	69.99 3AX	10/2/2000	10/6/2000	Sell	W636047672	NEFDX	4282.7230	Solicited	Cash - 01	market	17.10 3AX	10/2/2000	10/6/2000	Buy	W636020430	LU	100	Unsolicited	Cash - 01	30.25	GTC 3AX	10/2/2000	10/6/2000	Sell	W632295424	LEH	1000	Unsolicited	Cash - 01	160	GTC 3AX	10/2/2000	10/7/2000	Sell	W636020430	FKINX	7884.9400	Solicited	Cash - 01	market	2.31 3AX
Trade Date	Settle Date	Buy/Sell	Account Number	Product	Shares	SUNS	Type	Price	Report																																																																																																																																																																																																																		
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10/2/2000	10/5/2000	Buy	W632669420	45168C437	1689.7080	Solicited	Cash - 01	market	13.02 3AX																																																																																																																																																																																																																		
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10/2/2000	10/6/2000	Sell	W636047672	IVINX	1707.1350	Solicited	Cash - 01	market	36.68 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Sell	W636047672	220714505	52745.70	Solicited	Cash - 01	1	1 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Buy	W632669420	RCVAX	1756.4400	Solicited	Cash - 01	market	17.08 3AX																																																																																																																																																																																																																		
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10/2/2000	10/6/2000	Sell	W636047672	NEFDX	4282.7230	Solicited	Cash - 01	market	17.10 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Buy	W636020430	LU	100	Unsolicited	Cash - 01	30.25	GTC 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Sell	W632295424	LEH	1000	Unsolicited	Cash - 01	160	GTC 3AX																																																																																																																																																																																																																		
10/2/2000	10/7/2000	Sell	W636020430	FKINX	7884.9400	Solicited	Cash - 01	market	2.31 3AX																																																																																																																																																																																																																		

FIG. 10

150

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156

158

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address [https://www.xisi.com/investigo/mail\\_merge/merge\\_beta.asp](https://www.xisi.com/investigo/mail_merge/merge_beta.asp) Go Links

Symbol:  Go Compliance -- Daily Account Number or Name:  Lookup

### Mail Merge

Create a custom mail merge file by defining the characteristics of the accounts:

#### By Account Registration

Representative

Account Type

Report Frequency

State of Residence

#### By Investment Objective

<input type="checkbox"/> LT Capital Appreciation	<input type="text" value="Stocks"/>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Short Term Trading	<input type="text" value="Bonds"/>	<input type="text" value="Don't Search"/>
<input checked="" type="checkbox"/> Business Man's Risk	<input type="text" value="Options"/>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Income	<input type="text" value="Futures"/>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Safety of Principal		
<input type="checkbox"/> Tax Exempt Income		

#### By Personal Interests

☒ Golf ☐ Tennis

#### By Holdings

☒ Owns Mutual Funds ☐ Owns Long Term Care Policies

☐ Owns Life Insurance ☐ Owns Variable Annuities

Symbol

Done Internet

**FIG. 11**

FOC20"02F660

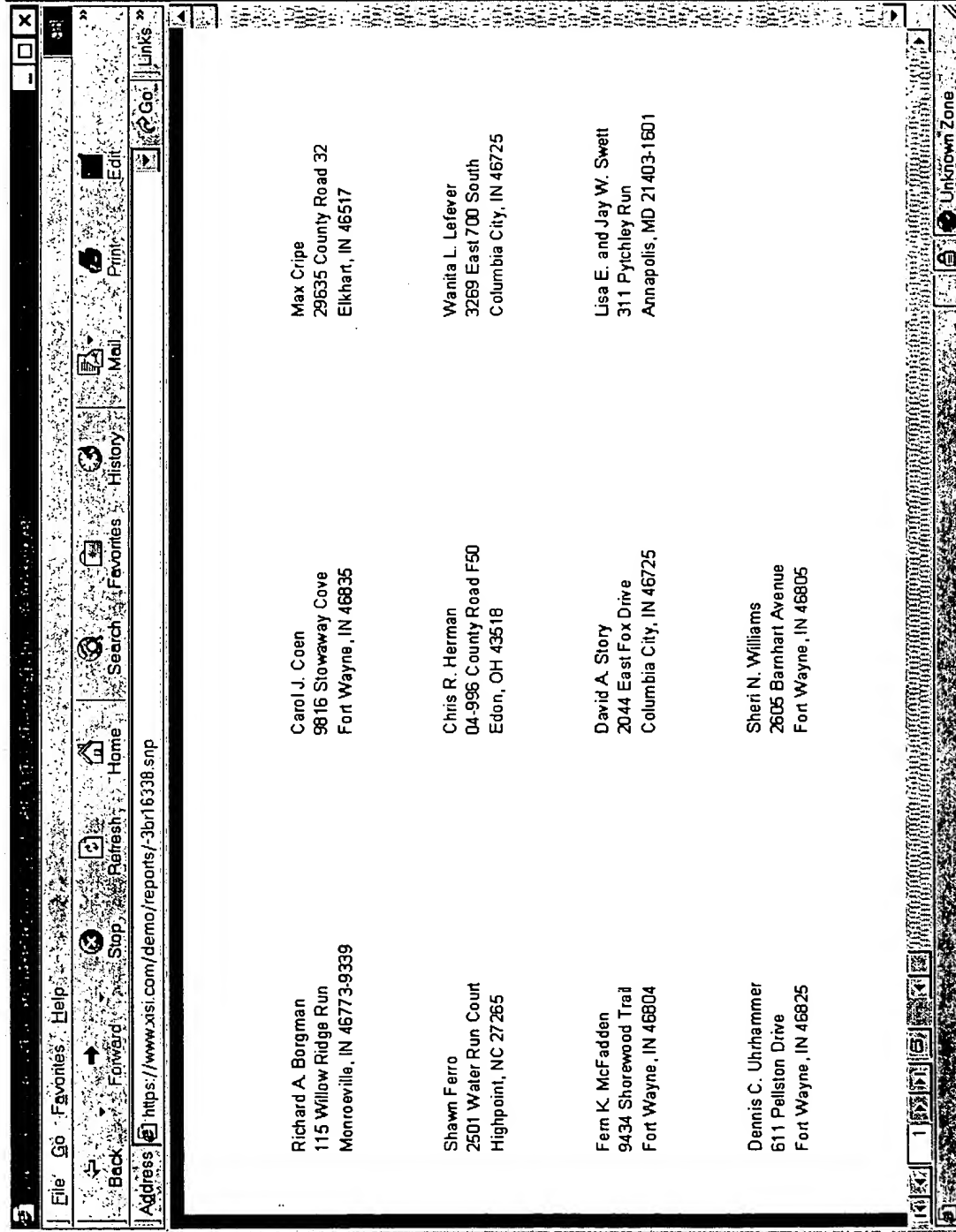


FIG. 12

FOIA b 7 - DFO - 02747650

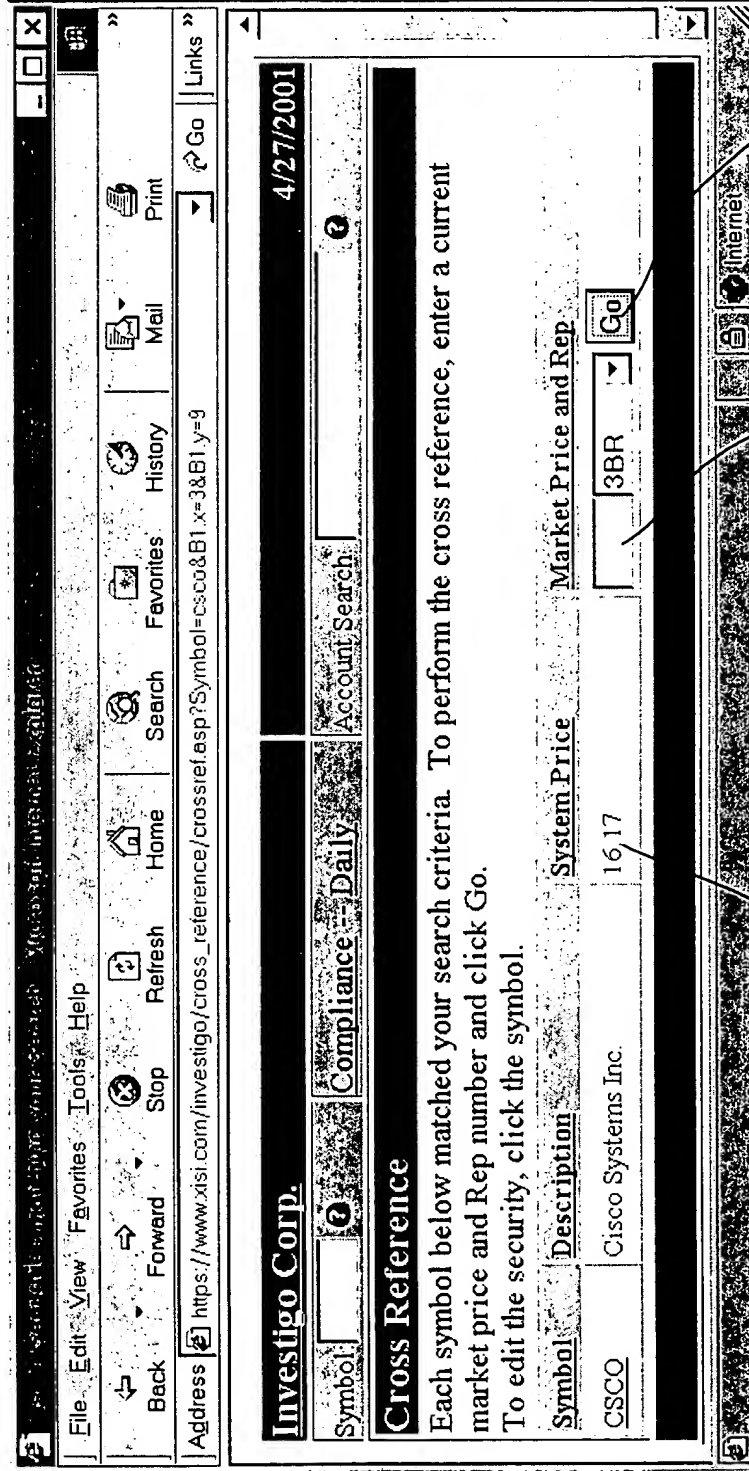


FIG. 13

09917120-072701

180

Investigo Corp. 4/27/2001

Symbol: Compliance: Daily Account Search:

**Cross Reference for Cisco Systems Inc.**

List of Open Positions for CSCO, Currently Trading at 16.17 for Representative (3BR). To go to a specific account click on the Account Number. To sell a specific position, click on the Shares.

**Cisco Systems Inc.-- (CSCO) at 16.17**

Mail Merge

Account Number	Last Name	Symbol	Shares	Open Date	Avg. Price	Total Cost	P/L	Contact #s
<a href="#">W632297834</a>	Boval	CSCO	<a href="#">100</a>	7/12/1999	33.8135	\$3,381.35	(\$1,764.35)	W:219-825-9457 H:219-825-5520
<a href="#">W632298345</a>	Edwards	CSCO	<a href="#">195</a>	3/24/2000	69.8983	\$13,630.16	(\$10,477.01)	W: H:219-635-2496
<a href="#">W636098170</a>	Felber	CSCO	<a href="#">100</a>	1/5/2000	50.6402	\$5,064.02	(\$3,447.02)	W: H:
<a href="#">W632297107</a>	Kernen	CSCO	<a href="#">103</a>	4/18/2000	68.1096	\$7,015.29	(\$5,349.78)	W:800-392-0844e272 H:770-967-4053
<a href="#">W632392841</a>	Marques	CSCO	<a href="#">600</a>	2/4/1999	29.6721	\$17,803.26	(\$8,101.26)	W:219-357-6557 H:219-357-5252
<a href="#">W632488060</a>	Mason	CSCO	<a href="#">238</a>	10/7/1999	47.0749	\$11,203.83	(\$7,355.37)	W:219-925-4939 H:219-837-6070
<a href="#">W632494886</a>	McClain	CSCO	<a href="#">200</a>	7/15/1999	33.3484	\$6,669.68	(\$3,435.68)	W:219-425-5792 H:219-497-0740
<a href="#">W632520656</a>	Rienks	CSCO	<a href="#">110</a>	7/21/1999	46.9139	\$5,161.08	(\$3,392.38)	W:270-251-1263 H:270-554-4701
<a href="#">W632645099</a>	Silva	CSCO	<a href="#">20</a>	3/23/2000	79.883	\$1,597.66	(\$1,274.26)	W:270-251-1109 H:270-554-5384

FIG. 14

091120-0701

204

200

202

The screenshot displays the Investigo Corp. website as of 4/27/2001. The browser window shows the address bar with the URL <https://www.xisi.com/investigo/today/today.asp>. The website header includes the company name and navigation links like Symbol, Compliance, and Daily. The main content area is divided into several sections:

- Friday, April 27, 2001**: A message stating "No appointments are on your Calendar for Today."
- This week**: A calendar grid showing dates from 22 to 28, with the 27th highlighted.
- This Month**: A calendar grid for April 2001, showing dates from 1 to 30.
- Add an Appointment**: A form with fields for Start Date, Start Time (8:00 AM), Duration (30 minutes), Title, Notes, and a Private checkbox. An "Add Appointment" button is at the bottom.
- Announcements**: Two news items about variable annuity sales and electronic backups.
- Clients to contact this Month**: A list of client names with a "Merge" button.
- Birthdays this Month**: A list of client names and their birth dates, with a "Merge" button.

The TrueSync Technology Platform logo is visible in the bottom left corner. The browser's status bar at the bottom shows "Internet Explorer".

FIG. 15

**Investigo Corp.** 4/27/2001

Symbol: [ ] Compliance Daily Account Search: [ ]

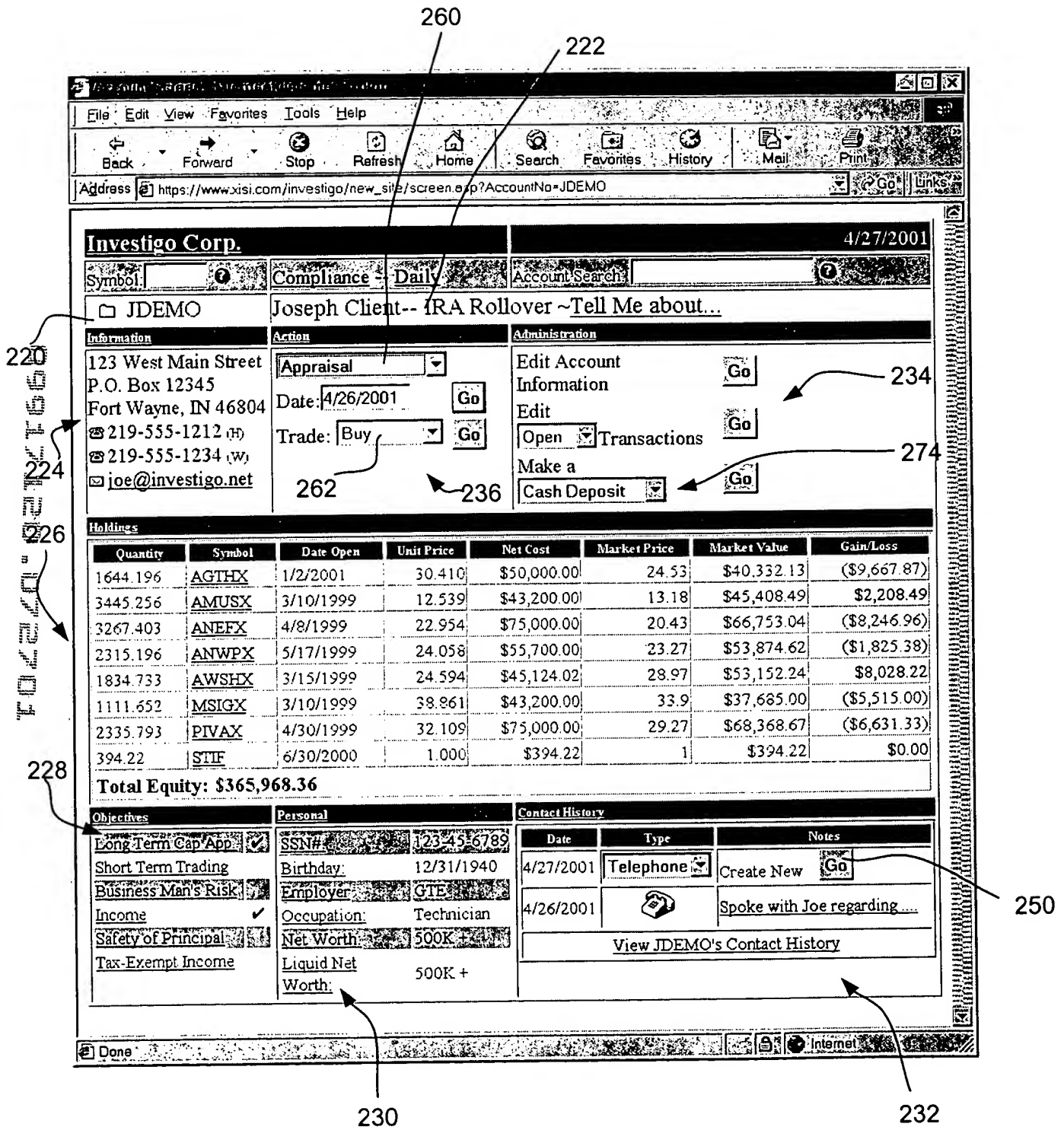
### Account Lookup

Each account listed below matched your search criteria. To go to the account, click on the Account Number. To Delete the Account, click the trash can icon after the Telephone Number(s).

Account Number	Rep	Primary Name	Account Type	Telephone(s)	Delete?
<u>000170016</u>	(3BR)	Hope Client	Variable Annuity	(w) - 219-555-1234 (h) - 219-555-1212	[trash]
<u>IDEMO2</u>	(3BR)	Joseph & Mary Client	JTWROS	(w) - 219-555-1234 (h) - 219-555-1212	[trash]
<u>IDEMO</u>	(3BR)	Joseph Client	IRA Rollover	(w) - 219-555-1234 (h) - 219-555-1212	[trash]
<u>DEMO-HH</u>	(3BR)	Joseph & Mary Client	[trash]	(w) - 219-555-1234 (h) - 219-55-1212	[trash]
<u>W632330122</u>	(3BR)	Mary Client	Single - Cash	(w) - 219-422-5686 (h) - 219-422-5686	[trash]

210





**FIG. 17**

Investigo Corp. 4/27/2001

Symbol:  Compliance:  Daily Account Search:

☐ JDEMO Joseph Client-- IRA Rollover ~Tell Me about...

Information	Action	Administration
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 ☎ 219-555-1212 (H) ☎ 219-555-1234 (W) ✉ joe@investigo.net	<input type="button" value="Realized G/L"/> <input type="button" value="Appraisal"/> <input type="button" value="Appraisal Graph"/> <input type="button" value="Asset Allocation"/> <input type="button" value="Asset Alloc. Graph"/> <input type="button" value="Realized G/L"/> <input type="button" value="Performance"/>	<input type="button" value="Edit Account Information"/> <input type="button" value="Go"/> <input type="button" value="Edit"/> <input type="button" value="Go"/> <input type="button" value="Open Transactions"/> <input type="button" value="Go"/> <input type="button" value="Make a Cash Deposit"/> <input type="button" value="Go"/>

**Holdings**

Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00

**Total Equity: \$365,968.36**

Objectives	Personal	Contact History									
<input checked="" type="checkbox"/> Long-Term Cap App. <input type="checkbox"/> Short-Term Trading <input type="checkbox"/> Business Man's Risk <input checked="" type="checkbox"/> Income <input type="checkbox"/> Safety of Principal <input type="checkbox"/> Tax-Exempt Income	SSN# 123-45-6789 Birthday: 12/31/1940 Employer: GTE Occupation: Technician Net Worth: 500K + Liquid Net: 500K +	<table border="1"> <thead> <tr> <th>Date</th> <th>Type</th> <th>Notes</th> </tr> </thead> <tbody> <tr> <td>4/27/2001</td> <td>Telephone</td> <td>Create New <input type="button" value="Go"/></td> </tr> <tr> <td>4/26/2001</td> <td></td> <td>Spoke with Joe regarding ....</td> </tr> </tbody> </table> <p><a href="#">View JDEMO's Contact History</a></p>	Date	Type	Notes	4/27/2001	Telephone	Create New <input type="button" value="Go"/>	4/26/2001		Spoke with Joe regarding ....
Date	Type	Notes									
4/27/2001	Telephone	Create New <input type="button" value="Go"/>									
4/26/2001		Spoke with Joe regarding ....									

Done Internet

FIG. 18

FO2240" 02T4T660

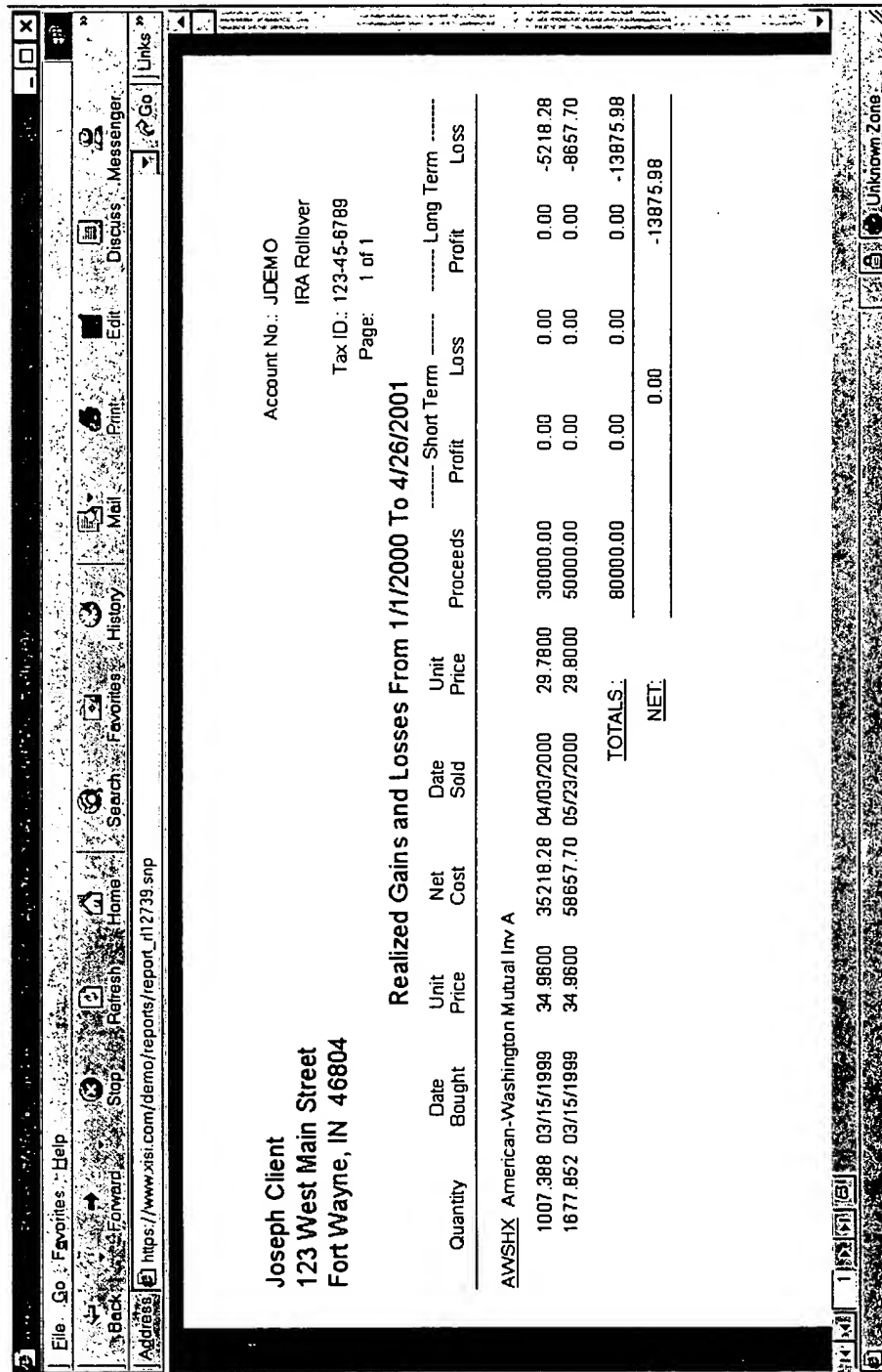


FIG. 19



Investigo Corp. 4/27/2001

Symbol: Compliance: Daily Account Number or Name:

Trade Entry

JDemo Joseph Client-- IRA Rollover

Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	ibm
Price	33.00	Solicitation Status	Solicited
Commission	600	Location of Shares	Long
Fees and/or charges	65.00	Reinvest	None or N/A
Sales charge	0		
Cost or Proceeds Override			
Order Entered By	3hr		

Notes

Recommended to client

Confirm This Trade

Address: https://www.xist.com/investigo/posting/orderdesk.asp?Action=Buy&B1=Go&reportdate=4%2F27%2F2001

Back Forward Stop Refresh Home Search Favorites History Mail Print Go Links

Done Internet

270

FIG. 21

268

File Edit View Favorites Tools Help		Back Forward Stop Refresh Home Search Favorites History Mail Print		Address lesCharge=0& Totals=&order_enterer=3br&notes=Recommended+to+client&Submit-Confirm+This+Trade Links	
Investigo Corp.		Compliance		4/27/2001	
Symbol		Go	Account Number or Name		Lookup
Trade Entry					
<b>JDEMO Joseph Client -- IRA Rollover</b>					
<u>Trade Date</u>	4/27/2001	<u>Trade Type</u>	Buy		
<u>Amount</u>	1000	<u>Symbol or CUSIP</u>	INTERNATIONAL BUSINESS MACHINES COR (IBM)		
<u>Price</u>	33	<u>Solicitation Status</u>	Solicited		
<u>Commission</u>	\$600.00	<u>Location of Shares</u>	Long		
<u>Fees and/or charges</u>	\$65.00	<u>Reinvest</u>	None		
<u>Sales charge</u>	0				
<u>Total Fees</u>	\$665.00				
<u>Total Cost</u>	\$33,665.00				
<u>Order Entered By</u>	3br				
<u>Notes</u>	Recommended to client				
Execute this Buy Order					

Investigo Corp. 4/27/2001

Symbol:  Account Search:

Information: Joseph Client-- IRA Rollover ~Tell Me about...

123 West Main Street  
P.O. Box 12345  
Fort Wayne, IN 46804  
219-555-1212 (H)  
219-555-1234 (W)  
joe@investigo.net

Compliance: Daily

Appraisal:  Go

Date: 4/26/2001 Go

Trade: Buy  Go

Open Transactions: 274 Go

Make a Stock Deposit: 234 Go

Cash Deposit Withdrawal

Quantity	Symbol	Date Open	Unit Price	No	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$5	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	\$66,753.04	(\$8,246.96)
2315.196	ANTWPX	5/17/1999	24.058	\$55,700.00	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	\$394.22	\$0.00

Done

FIG. 23

Investigo Corp. 4/27/2001

Symbol:  Go Compliance Daily Account Number or Name:  Lookup

**Stock Power Entry Form**

Enter the information required below and click the submit button to generate a printable stock power form.

**Receiving Information**

Account Number

Date of Entry

**Security Information**

Number of shares

Symbol

Stock type

Certificate number(s)

FIG. 24



10/20/01 12:07 PM

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address [https://www.xsi.com/investigo/stock\\_power/stock\\_power\\_confirm.asp?account\\_no=JDEMO&e\\_date=4%2F27%2F](https://www.xsi.com/investigo/stock_power/stock_power_confirm.asp?account_no=JDEMO&e_date=4%2F27%2F) Go Links

## IRREVOCABLE STOCK OR BOND POWER

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to

Joseph Client SSN#: 123-45-6789  
123 West Main Street  
Fort Wayne, IN 46804

**If Stock,** 15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)  
**Complete** ( represented by Certificate(s) No(s) 12232293 inclusive,  
**This** (  
**Portion** (Standing in the name of the undersigned on the books of said Company.

**If Bonds,** ( bonds of \_\_\_\_\_  
**Complete** (  
**This** ( in the principal amount of \$ \_\_\_\_\_ No(s) \_\_\_\_\_ inclusive,  
**Portion** (  
( standing in the name of the undersigned on the books of said company.

The undersigned does (do) hereby irrevocably constitute and appoint \_\_\_\_\_ attorney to transfer the said stock or bond(s), as the case may be, on the books of said Company, with full power of substitution in the premises.

Dated: 4/27/2001

IMPORTANT-READ CAREFULLY  
The signature(s) to this Power must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Signature guarantee should be made by a member or member organization of the New York

\_\_\_\_\_  
Joseph Client

SIGNATURE GUARANTEED

Done Internet

*FIG. 25*

FIG. 26




Investigo Corp.		4/27/2001	
<b>Correspondence History for JDEMO</b>			
Date	Type	Enterer	Notes
4/26/2001		Joe	Spoke with Joe regarding the account. He is satisfied so far. Check back next month.
4/11/2001		Joe	Met with Joe and discussed his account. Check back in 3 months.
2/21/2001		Joe	Sent him an appraisal and a realized g/l statement for

FIG. 27

